

CHAPTER 1. OVERVIEW OF RECORDS DISPOSITION MANAGEMENT PROGRAM

1-1. SCOPE OF HANDBOOK.

- a. This Handbook covers the records disposition management program objectives policies and responsibilities and includes instructions on:
 - (1) Preparing and using records disposition schedules.
 - (2) Retiring records to the Federal Records Centers.
 - (3) Disposing of records in HUD offices.
 - (4) Removing and using records by HUD employees.
- b. It does not cover the selection and protection of HUD's vital records or the operation of off-site facilities designed to store duplicate HUD records or backup automated files (see Handbook 2227.1, Vital Records Program).

1-2. STATUTORY REQUIREMENTS. National Archives and Records Administration Act of 1984 (44 U.S.C. 101); 36 CFR Part 1228, issued by the National Archives and Records Administration (NARA).

1-3. OBJECTIVES. The major objective of HUD's records disposition management program is to ensure that records of lasting value are preserved and that records no longer needed are properly disposed of or retired. The specific goals are to:

- a. Move inactive records out of high cost space in offices to lower cost storage space in Federal Records Centers.
- b. Ensure that records of permanent value are identified, earmarked, and properly kept for later transfer to the National Archives.
- c. Destroy records of temporary value when their retention periods end.

1-4. POLICIES. HUD's records disposition management policies are to:

- a. Provide for efficient, economical, and effective controls for disposing of all HUD records. HUD's basic premise is that most records cannot be kept permanently or even for long periods.
- b. Develop HUD records disposition schedules on a program or functional basis, instead of by organization. Any organizational schedules must be changed to program or functional schedules as soon as possible.

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- c. Promptly apply approved records disposition schedules and disposal lists to HUD records. Schedules and lists are approved NARA. Some require General Accounting Office approval first

(par. 3-13a).

- d. Encourage the inclusion of critical elements on records disposition management in individual performance appraisal plans, where appropriate.
- e. Consider the retention periods of the source documents and related textual records when establishing retention periods for automated files.

1-5. IMPORTANCE OF RECORDS AND THE RECORDS DISPOSITION MANAGEMENT PROGRAM.

- a. Records are the basic administrative tools the Government uses to do its work. As every action, decision, and policy is documented, records are created. Records serve many purposes. They may:
 - (1) Contain evidence of financial and legal commitments which must be preserved to protect the Government.
 - (2) Contain information needed to protect the civic, legal, and property rights of private citizens.
 - (3) Provide continuity of policies, actions, and organizational and procedural patterns for sound administration. Records are the memory of every Federal agency.
 - (4) Contain a wealth of data for scholarly and technical research in almost every field.
- b. Without a good records disposition management program, HUD would soon be cluttered with records at great cost in space and filing equipment. The congestion would interfere with the efficient administration of HUD programs.
- c. A good records disposition program also helps guard against unauthorized or premature disposal of automated files. The problems caused by premature disposal include:
 - (1) The need for costly re-creation of automated files.
 - (2) The lack of audit trails to support management and accounting operations or financial statements.
 - (3) The inability to detect fraud or other potential irregularities.

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- 1-6. RELATIONSHIP TO OTHER INFORMATION RESOURCES MANAGEMENT PROGRAMS. The records disposition management program is part of the total information resources management (IRM) program required by law. The total IRM program deals with all phases of the life cycle of a record--creation, maintenance, and disposition. There must be a

close working relationship between employees involved in any of the life cycle phases since each affects the other. For example, requiring that too many copies of a document be prepared will cause maintenance and disposition problems later on.

1-7. DEFINITIONS AND ABBREVIATIONS. See Appendix 1, "Glossary."

1-8. RESPONSIBILITIES.

a. Primary Organization Heads (POH's). POH's are managers responsible for major HUD organizations who report directly to the Secretary. The POH's are the Assistant Secretaries, General Counsel, Deputy Under Secretaries, President of Government National Mortgage Association, Inspector General, and Regional Administrators-Regional Housing Commissioners. POH's are responsible for implementing and operating effective records disposition management programs within their organizations. POH's must:

- (1) Effectively manage their organizations' records as an important program resource. This includes planning, developing and operating HUD programs and activities so that:
 - (a) The volume of records created is kept to a minimum.
 - (b) Records are kept for the shortest time needed to meet administrative, fiscal and legal requirements.
- (2) Ensure that the records are scheduled, i.e., are covered by approved records disposition schedules.
- (3) Ensure that the records are disposed of promptly, following approved records disposition schedules or disposal lists.
- (4) Ensure that those records which warrant permanent retention are so identified (subject to NARA approval), earmarked, and properly maintained.
- (5) Name a Records Management Liaison Officer (RMLO) and alternate for their organization. Send the written designation to the Departmental Records Management Officer (see Exhibit 1-1).
- (6) Ensure that retention periods are established for all of their organizations' automated files.

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- (7) Include critical elements and performance standards on records disposition management in individual performance appraisal plans, where appropriate. (See Exhibits 1-2 and 1-3 for samples which can be used as is or which can be incorporated into other elements and standards to reflect the specific job.)

- b. Managers and supervisors. All HUD managers and supervisors have the same responsibilities for their offices as listed in paragraph (par.) a, except for a(5). In addition, Headquarters Office Directors must ensure that their staffs prepare any needed records disposition schedules (including inventories) and disposal lists to cover their records, with the advice of their RMLO.
- c. Departmental Records Management Officer (DRMO). The DRMO is in the Management Services Division, Office of Administrative and Management Services, Administration. The DRMO must:
 - (1) Coordinate overall development and operation of HUD's records disposition management program. Specifically:
 - (a) Plan, develop, and recommend policies, systems, standards, and procedures for the program. Three copies of each directive issued on the program (POH level or higher) must be sent to NARA.
 - (b) Review the program regularly for possible improvement and prepare needed changes.
 - (2) Provide technical leadership and assistance to HUD employees on records disposition. Specifically:
 - (a) Advise on preparing or revising HUD records disposition schedules and disposal lists. Review proposed schedules or schedule revisions for completeness, clarity, and good records disposition practices.
 - (b) Interpret and advise on applying schedules and disposal lists to HUD records and on meeting other program requirements.
 - (c) Assist in resolving records disposition problems and nonconcurrences on schedules and lists.
 - (d) Recommend available records disposition training to Headquarters and Regional RMLO's and other HUD employees.

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- (3) Evaluate records disposition activities throughout HUD for compliance with disposition policies and procedures. Advise proper HUD officials of any problems and recommend actions to correct them.
 - (4) Serve as HUD liaison on records disposition with NARA, GAO, and other Federal agencies. Coordinate submission of proposed HUD records disposition schedules and disposal lists to NARA (and GAO if needed) for approval.

- (5) Evaluate requests for "freezes" on the disposition of HUD records and other deviations from schedules and recommend approval or disapproval.
 - (6) Conduct or take part in studies of records disposition matters and records problems.
- d. Records Management Liaison Officers (RMLO's). Headquarters and Regional RMLO's are responsible for coordinating the records disposition management program for their organizations. RMLO's must:
- (1) Serve as principal contact on records disposition for their organizations.
 - (2) Evaluate records disposition activities. Review the records disposition schedules to ensure that their organizations' records are covered.
 - (3) Provide technical leadership and assistance on records disposition. Specifically:
 - (a) Recommend needed schedule revisions to the DRMO. Headquarters RMLO's must also help their organizations prepare needed inventories, lists and schedules to cover their records and must coordinate such efforts with the DRMO.
 - (b) Apply approved schedules and lists to dispose of their organizations' records.
 - (c) Identify, earmark and properly maintain "permanent" records.
 - (4) Provide data on their organizations' records disposition activities as asked. Notify the DRMO of:
 - (a) Actual or threatened unlawful removal or destruction of HUD records.

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- (b) Any records disposition problems which can't be resolved otherwise.
 - (5) Attend records disposition meetings, conferences or training held or recommended by the DRMO.
- e. Records Management Coordinators. A Records Management Coordinator must be named for each field Office within the Region. The Regional RMLO must be notified of the selection. The Coordinators should be trained in the records disposition management program and goals. They are responsible for:

- (1) Coordinating all records disposition activities for their Field Offices.
 - (2) Serving as the Field Office contact points for records disposition management.
- f. Headquarters Records Center Liaison Unit. The Headquarters Records Center Liaison Unit is part of the Management Services Division, Office of Administrative and Management Services, Administration. The Unit must:
- (1) Assist and coordinate retirement, retrieval and transfer services for all Headquarters records.
 - (2) Inspect all proposed Headquarters records shipments and retirement documents to ensure that they follow HUD records disposition policies and that the records are eligible for retirement to a Center. Return retirement documents needing major revision and contact the preparing office when shipment needs extensive repacking.
 - (3) Serve as principal contact with the Washington National Records Center for all Headquarters records retirement and reference services. Maintain liaison with the National Personnel Records Center (in St. Louis, Missouri) on personnel records.
- g. File Custodians. All HUD file custodians are responsible for properly disposing of records at their file stations, using this Handbook and the approved schedules.
- h. All Employees. All HUD employees must:
- (1) Treat records in their custody as Government property. Identify and keep their personal correspondence and documents separate from Government records.

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- (2) Follow the laws against unlawful destruction, removal from files and use of official records (par. 8-2). Notify their RMLO or the DRMO of any actual or threatened unlawful removal or destruction of records. When automated files are involved, notify their Regional ADP Security Officer or the Departmental ADP Security Officer, in addition to the RMLO or DRMO.
 - (3) Keep their reference and other nonrecord material to a minimum and dispose of it as soon as it becomes obsolete or unnecessary.
 - (4) Recommend needed schedule changes in writing through proper channels to their RMLO or to the DRMO. Employees should also recommend improvements to HUD's records disposition management program in writing:

- (a) Through proper channels to their RML0 or the DRMO, or
 - (b) Through the IDEAS program if appropriate.
- i. Director, Office of Information Policies and Systems (IPS). The Director of IPS and staff must:
- (1) Develop formal guidelines, in coordination with the DRMO, for establishing retention periods for all automated system files as an integral part of ADP systems development.
 - (2) Assist ADP system sponsors in establishing retention periods for their automated files. The retention periods are subject to approval by NARA before implementation.
 - (3) Implement the approved retention periods for automated files created and maintained by IPS and conduct periodic reviews of IPS' compliance with the retention periods.
- j. Directors, Regional Management Information Divisions/Management Systems Divisions. The Directors of the Regional Management Information Divisions or Regional Management Systems Divisions, as appropriate, and staff have the same responsibilities for their Regions as listed in par. i, except for i(1).
- k. ADP System Sponsors. ADP system sponsors must establish retention periods for their automated files with the assistance of IPS staff. This should be done as part of ADP systems development. The retention periods are subject to approval by NARA before implementation.

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1. Personal Computer Users. Users of personal computers in office environments must:
- (1) Establish retention periods for any automated files they create and maintain which are not covered by General Records Schedule 23. Such retention periods are subject to approval by NARA before implementation.
 - (2) Implement approved retention periods for automated files they create and maintain.
- 1-9. OVERVIEW OF PROGRAM REQUIREMENTS. Later Chapters of this Handbook provide more detail on these program requirements:
- a. All HUD records must be scheduled, regardless of form or media. Records include ADP magnetic tapes and microforms. Handbook 2225.6 contains all HUD records disposition schedules approved by NARA. HUD schedules also cover nonrecord material.
 - b. NARA must seek public comment before approving any agency

disposal lists, new schedules, or schedule revisions which propose to decrease retention periods. NARA does this by publishing a monthly notice of such documents in the Federal Register. Those interested in reviewing any document can contact NARA for a copy.

- c. HUD is required to use the General Records Schedules (GRS) issued by NARA for administrative records but can request deviations. The GRS are in Handbook 2228.2. The approved deviations are in HUD Records Disposition Schedule 3, Appendix 3 of Handbook 2225.6.
- d. Only records selected by NARA can be kept permanently. These are normally identified during the scheduling process.
- e. Offices must review their records disposition schedules for needed revisions annually.
- f. Offices must retire as many inactive records to Federal Records Centers as possible.
- g. Offices must destroy temporary records promptly (within a year) after their retention periods end unless NARA approves an extension.
- h. Offices must establish and maintain their files to make disposal of records according to records disposition schedules easier.
- i. HUD records, including automated files, may only be destroyed as authorized by the GRS or approved HUD records disposition schedules or disposal lists.

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- j. HUD officials and employees may not unlawfully remove HUD records during employment or when leaving the Department.

1-10. REFERENCES. Since records disposition and files maintenance are so interrelated, managers should be aware of these other HUD issuances:

- a. Records Disposition Scheduling for Automated Systems, Handbook 2229.1: Contains instructions for ADP system sponsors, assisted by the Office of Information Policies and Systems (IPS), in establishing retention periods for mainframe computer system files. Systems operated by contractors are also subject to these instructions.
- b. General Records Schedules, Handbook 2228.2: Contains the General Records Schedules (GRS) issued by NARA to provide disposition standards for records common to most Federal agencies, mainly on administrative functions. Use of the GRS is mandatory for all Federal agencies.
- c. HUD Records Disposition Schedules, Handbook 2225.6: Contains

the records disposition schedules developed to cover HUD records.

- d. Files Management Policy, Handbook 2223.1: Contains the files management objectives, policies and responsibilities as well as an overview of program requirements for HUD managers.
- e. Files Management Procedural Supplement, 2223.1 SUPP-1: Contains the detailed procedures and requirements for HUD's files management program.

1-11. ASSISTANCE. The Departmental Records Management Officer and staff can provide advice and assistance on records disposition management.

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2228.1 REV-3 RECORDS MANAGEMENT LIASON
 OFFICER DESIGNATION FORM
 LETTER

EXHIBIT 1-1

Date: _____

MEMORANDUM FOR: Departmental Records Management Officer, Management Services Division, ASE

FROM:

SUBJECT: Designation of Records Management Liaison Officer (RMLO) and Alternate for the Office of _____

This designation is effective immediately. (Authority: Par. 1-8a(5), Handbook 2228.1)

CORRES.	TELEPHONE	ROOM
CODE	NUMBER	NO.
_____	_____	_____

- 1. RMLO:
- 2. Alternate:

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POSITION: Manager

CRITICAL ELEMENT: Manages office's records and ensures that all are scheduled, including automated files. Ensures that office does not maintain records whose retention periods have expired. Ensures that office conducts annual review of records disposition schedules covering their records and recommends any needed changes in writing through proper

channels.

PERFORMANCE STANDARDS:

Outstanding:

In addition to meeting the standards for fully successful:

- . Uses available training resources to help employees become knowledge-able about records disposition management and its role in efficient operation of office.
- . Guides and directs employees in developing records disposition schedules to ensure the availability of a cost-effective mix (e.g., source documents, automated files, microfiche) of records needed to meet requirements imposed by HUD and outside agencies (e.g., General Accounting Office audit requirements and Privacy Act disclosure recordkeeping.)
- . Makes special efforts to help employees manage their records/paper efficiently.
- . Promptly and effectively recognizes employees' accomplishments in managing their records/paper.
- . Takes quick, consistent action to correct employees' poor performance in managing their records/paper.

Fully Successful:

Performance at this level consistently meets these standards:

- . Tells employees what is expected in terms of compliance with records disposition management policies and procedures.
- . Makes sure that employees develop records disposition schedules for the office's records which will ensure the availability of records needed to meet requirements imposed by HUD and outside agencies (e.g., General Accounting Office audit requirements and Privacy Act disclosure recordkeeping.)

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- . Notifies designated file custodian(s) of requirement to conduct annual reviews of records disposition schedules covering all of the office's records, including automated files; requires review reports with recommendations for needed changes, if any.
 - . Notifies all employees of annual records cleanout campaign; takes lead in participating and requires that everyone participate; reviews campaign results and takes any corrective action needed.
 - . Inspects periodically to make sure office space is not cluttered with records/paper.

Unacceptable:

Performance at this level consistently meets these standards:

- . Does not tell employees what is expected in terms of compliance with records disposition management policies and procedures.
- . Does not make sure that employees develop records disposition schedules for the office's records; schedules will not ensure the availability of records needed to meet HUD and outside agency requirements.
- . Does not notify designated file custodian(s) of requirement to conduct annual reviews of records disposition schedules covering all of the office's records, including automated files; does not require review reports; does not require recommendations for needed changes if any problems are found.
- . Does not notify employees of annual records cleanout campaign; does not take lead in participating; does not require that all employees participate; does not review campaign results; does not take corrective action as needed.
- . Does not inspect office space with result that it becomes cluttered with records/paper.

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POSITION: File Custodian

CRITICAL ELEMENT: Retires inactive records to Federal Records Center (FRC). Destroys records/paper whose retention periods have expired according to General Records Schedules or approved HUD records disposition schedules. Safeguards records appraised as permanently valuable and transfers them to National Archives as required by approved schedules or offers. Notifies supervisor of any unscheduled records in office's custody. Coordinates annual review of records disposition schedules covering office's records and recommends needed changes in writing through proper channels. Participates in annual records cleanout campaign and compiles office's report.

PERFORMANCE STANDARDS:

Outstanding:

In addition to meeting the standards for fully successful:

- . Takes initiative to develop schedule items for unscheduled records by consulting with employees who create and use the records on appropriate retention periods, drafting schedule items and submitting them on Form HUD-552 through proper channels.
- . Takes initiative throughout year to determine needed changes to

records disposition schedules covering office's records by consulting with employees who create and use them, notifying supervisor and submitting proposed changes on Form HUD-552 through proper channels.

- . Shows initiative in anticipating and dealing with record disposition problems in office.

Fully successful:

Performance at this level consistently meets these standards:

- . Consults with Records Management Liaison Officer (RMLO) for office when records disposition assistance is needed.
- . Maintains copy of General Records Schedules and HUD records disposition schedules covering office's records and Handbook 2228.1, Records Disposition Management; is familiar with their contents.
- . Takes prompt action to retire inactive records to FRC within a year after they become eligible; packs records properly in Center cartons; prepares complete and accurate inventory list of contents of cartons; correctly prepares SF 135 used to retire records; maintains copies of approved SF 135's for later retrieval of records from FRC.

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- . Periodically purges office's files to destroy records/papers promptly (within a year) after their retention periods have expired; checks to see if any records about to be destroyed are still needed due to ongoing litigation, investigation or similar reasons and notifies supervisor if request for extension or schedule change is needed; records amounts destroyed (in cubic feet) for annual records cleanout campaign report.
 - . Clearly labels folders and file drawers containing records appraised as permanently valuable by National Archives; correctly prepares SF 258 as soon as permanent records become eligible for transfer to National Archives and forwards it promptly for approval through proper channels; properly packages records for mailing/shipping to National Archives.
 - . Notifies supervisor promptly when office receives/creates unscheduled records.
 - . Coordinates thorough annual review of records disposition schedules covering office's records; consults with employees who create and use the records to determine if changes are needed; submits any recommendations promptly in writing through proper channels.
 - . Participates fully in annual records cleanout campaign; compiles accurate and thorough report for office and meets deadline for submission.

Unacceptable:

Performance at this level consistently meets these standards:

- . Does not contact RML0 when records disposition assistance is needed.
- . Does not maintain copy of General Records Schedules and HUD records disposition schedules covering office's records and Handbook 2228.1, Records Disposition Management; is not familiar with their contents.
- . Does not take prompt action to retire inactive records to FRC within a year after they become eligible; does not pack records properly in Center cartons so that cartons must be repacked; does not prepare list of contents of cartons or prepared list is inaccurate or incomplete; does not prepare SF 135 correctly so that it must be redone; does not maintain copies of approved SF 135's so that retired records cannot be retrieved without much difficulty.

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- . Does not periodically purge office's files to destroy records/paper promptly (within a year) after their retention periods have expired; does not check to see if records about to be destroyed are still needed due to ongoing litigation, investigation or similar reasons; does not notify supervisor if request for extension or schedule change is needed; does not record amounts destroyed (in cubic feet) for annual records cleanout campaign.
- . Does not clearly label folders and file drawers containing permanently valuable records; does not prepare SF 258 as soon as permanent records become eligible for transfer to National Archives or SF 258 is not correct; does not forward SF 258 promptly for approval through proper channels; does not properly package records for mailing/shipping to National Archives so that records must be repackaged.
- . Does not notify supervisor promptly when office receives/creates unscheduled records.
- . Does not coordinate annual review of records disposition schedules covering office's records or review is not thorough; does not consult with employees who create and use the records to determine if changes are needed; does not prepare written recommendations when needed or does not submit them through proper channels.
- . Does not participate in annual records cleanout campaign; does not compile accurate and thorough report for office; does not submit report on time.

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